



Anderson 5-13-9-12

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Patent Application

Applicant(s): G. Anderson et al.  
Case: 5-13-9-12  
Serial No.: 10/022,926  
Filing Date: December 18, 2001  
Group: 2161  
Examiner: To Be Assigned

I hereby certify that this paper is being deposited on this date with the U.S. Postal Service as first class mail addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Signature: Denise A. Glaser Date: October 18, 2002

Title: Methods and Apparatus for Automated Monitoring and Action Taking Based on Decision Support Mechanism

TRANSMITTAL LETTER

Assistant Commissioner for Patents  
Box DAC  
Washington, D.C. 20231

Sir:

Submitted herewith are the following documents relating to the above-identified patent application:

- (1) Request for Reconsideration of Petition Under 37 C.F.R. 1.47(a); and
- (2) Supplemental Statement of Facts in Support of Filing by Joint Inventors on Behalf of Themselves and the Nonsigning Inventor Pursuant to 37 C.F.R. 1.47(a) with Exhibits 1 and 2.

It is believed that there is no additional fee due in conjunction with this filing. In the event of any non-payment or improper payment of a required fee, the Commissioner is hereby authorized to charge or to credit Ryan, Mason & Lewis, LLP Account No. 50-0762 as required to correct the error.

Respectfully submitted,

William E. Lewis

William E. Lewis  
Reg. No. 39,274  
Attorney for Applicant(s)  
Ryan, Mason & Lewis, LLP  
90 Forest Avenue  
Locust Valley, NY 11560

Date: October 18, 2002

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Patent Application

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Signature: Alexander A. Glaser Date: October 18, 2002

Title: Methods and Apparatus for Automated Monitoring and  
Action Taking Based on Decision Support Mechanism

REQUEST FOR RECONSIDERATION  
OF PETITION UNDER 37 C.F.R. 1.47(a)

Assistant Commissioner for Patents  
Box DAC  
Washington, D.C. 20231

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Sir:

This Request for Reconsideration of Petition under 37 C.F.R. 1.47(a) is filed in reply to the Decision Refusing Status Under 37 C.F.R. §1.47(a) mailed on August 21, 2002 in the above-referenced application. Applicants incorporate herein by reference the previously-filed Petition (dated May 15, 2002), as well as the previously-filed Statements of Fact (also dated May 15, 2002) from Mr. William E. Lewis and Mr. Richard B. Hull.

Ms. Alesia M. Brown, Petitions Attorney, is thanked for her time spent during a telephone conference with Applicants' attorney. The discussion with Ms. Brown provided the necessary insight to clarify the perceived deficiency in the Petition which was filed on December 18, 2001.

The essence of the deficiency with the original Petition was that the original Petition lacked a statement to show that the non-signing inventor was presented with the application papers (namely, in this instance, specification, claims and drawings).

Accordingly, submitted herewith is a Supplemental Statement of Facts in Support of Filing by Joint Inventors on Behalf of Themselves and the Nonsigning Inventor Pursuant to 37 C.F.R.

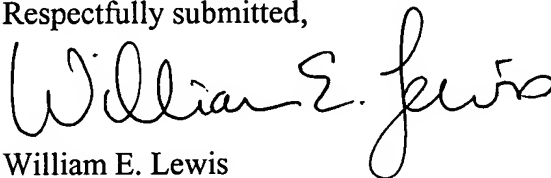
1.47(a) which provides the necessary proof that the non-signing inventor was presented with the application papers. Specifically, the Supplemental Statement in paragraph 2 states that Applicants' attorney, Mr. William Lewis, "forwarded a copy of the application papers . . . to Mr. Gregory Anderson [the non-signing inventor] on December 18, 2001." A copy of a cover letter of which Mr. Anderson was copied (see bottom of letter with "cc: Gregory Anderson (w/copy of application)") is attached to the Supplemental Statement as Exhibit 1. The facts regarding Mr. Anderson's refusal to sign, after having been presented with the application papers, may be found in the original Statement of Facts signed by co-inventor Mr. Richard B. Hull.

Additionally, in a further effort to resolve this matter without the need to continue the petition process, Applicants' attorney, Mr. William E. Lewis, personally contacted Mr. Anderson via telephone to offer Mr. Anderson another opportunity to sign the necessary papers. Mr. Lewis followed-up the telephone conversation with a letter dated October 7, 2002. A copy of the letter dated October 7, 2002 is attached to the Supplemental Statement as Exhibit 2. Attached to the letter were copies of the specification, claims, drawings and Declaration and Assignment documents. On October 14, 2002, Mr. Lewis again spoke with Mr. Anderson. During that conversation, Mr. Lewis asked Mr. Anderson if he would sign the documents and, if not, whether there was anything Mr. Lewis could do to change his mind. Mr. Anderson replied "I don't see it."

Accordingly, in view of the above, Applicants respectfully request that the Petition Under 37 C.F.R. §1.47(a) be granted. If there are any remaining matters, Applicants' attorney may be contacted at the number indicated below.

Date: October 18, 2002

Respectfully submitted,



William E. Lewis  
Reg. No. 39,274  
Attorney for Applicant(s)  
Ryan, Mason & Lewis, LLP  
90 Forest Avenue  
Locust Valley, NY 11560  
(516) 759-2946



Anderson 5-13-9-12

IN THE UNITED STATES  
PATENT AND TRADEMARK OFFICE

**Patent Application**

Inventor(s): Gregory Anderson, Vinod Anupam,  
Richard B. Hull and Bharat Kumar  
Case: 5-13-9-12  
Filing Date: December 18, 2001  
Serial No.: 10/022,926  
Title: Methods and Apparatus for Automated  
Monitoring and Action Taking Based  
on Decision Support Mechanism

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**SUPPLEMENTAL STATEMENT OF FACTS IN SUPPORT OF  
FILING BY JOINT INVENTORS ON BEHALF OF THEMSELVES AND  
THE NONSIGNING INVENTOR PURSUANT TO 37 CFR 1.47(a)**

I, William E. Lewis, hereby declare that:

1. I am a partner in the law firm of Ryan, Mason & Lewis, LLP, having an address at 90 Forest Avenue, Locust Valley, NY 11560, and was responsible for preparing and filing the above-identified patent application ("the Application") on behalf of the Assignee, Lucent Technologies Inc.

2. Prior to causing the Declaration and Power of Attorney documents to be forwarded to Mr. Gregory Anderson, as indicated in the Statement of Facts which was previously filed on May 15, 2002, I forwarded a copy of the application papers (specification, claims and drawings), as filed with the U.S. Patent and Trademark Office, to Mr. Gregory Anderson on December 18, 2001 at his address in our files as of that date. (See Letter dated December 18, 2001, attached hereto as Exh. 1). This was prior to Mr. Anderson's first refusals to sign the Declaration and Assignment documents made to Mr. Richard B. Hull on May 14, 2002 (see Statement of Facts by Richard B. Hull previously-filed with the original Petition of May 15, 2002).

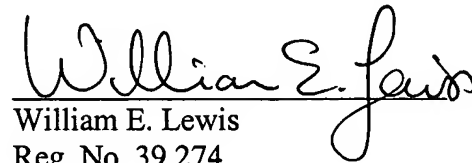
3. In a further effort to resolve this matter without the need to continue the petition process, I personally contacted Mr. Anderson via telephone to offer Mr. Anderson another opportunity to sign the necessary papers. I called Mr. Anderson at his telephone number (972) 745-6444 in Texas. I followed up the telephone conversation with a letter dated October 7, 2002. (See Letter dated October 7, 2002, attached hereto as Exh. 2). Attached to the letter were copies of the specification, claims, drawings and Declaration and Assignment documents. A copy of a confirmation from Federal Express which indicates that Mr. Anderson signed for the letter is also attached hereto as Exhibit 2.

4. On October 14, 2002, I again spoke with Mr. Anderson (contacting him at the same Texas telephone number as in paragraph 3 above). During that conversation, I asked Mr. Anderson if he would sign the Declaration and Assignment documents and, if not, whether there was anything I could do to change his mind. Mr. Anderson replied "I don't see it."

5. To this date, I still have not received a copy of the Declaration for the Application executed by Mr. Anderson.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Dated: October 18, 2002

  
William E. Lewis  
Reg. No. 39,274

Ryan, Mason & Lewis, LLP  
90 Forest Avenue  
Locust Valley, NY 11560

JOSEPH B. RYAN  
KEVIN M. MASON  
WILLIAM E. LEWIS

ROBERT J. MAURI\*  
WAYNE L. ELLENBOGEN  
JAMES M. LOEFFLER  
JAMES F. HARRINGTON

\*NOT ADMITTED IN NY

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CONNECTICUT OFFICE  
1300 POST ROAD, SUITE 205  
FAIRFIELD, CT 06430  
TEL: (203) 255-6560  
FAX: (203) 255-6570

**VIA FEDERAL EXPRESS**

December 18, 2001

Ms. Susan E. Curry  
Administrative Manager  
Lucent Technologies Inc.  
IP-Law Outside Counsel Group  
Room 3J-220  
101 Crawfords Corner Road  
Holmdel, New Jersey 07733-3030

Re: Anderson 5-13-9-12  
IDS No. 123686  
Our File No. 1200-531

Dear Susan:

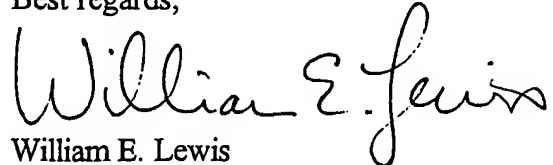
The above-referenced patent application was filed today with the U.S. Patent and Trademark Office. Enclosed for your files are copies of the following documents:

1. Transmittal Letter;
2. Express Mail receipt;
3. Postcard; and
4. Specification with 7 sheets of informal drawings.

We received authorization to file from Managing Attorney Stephen M. Gurey on December 18, 2001. The drafting vendor for this application will be CLB CadPatents.

We enclose a diskette containing the application in WordPerfect format, and our debit note for services and disbursements related to preparation of the application.

Best regards,

  
William E. Lewis

WEL:dag

Enclosure(s): as above

cc: Stephen M. Gurey, Esq. (w/ out enclosures)  
CLB CadPatents (w/ copy of drawings and brief and detailed descriptions thereof)  
Gregory Anderson (w/ copy of application)  
Vinod Anupam (w/ copy of application)  
Richard B. Hull (w/ copy of application)  
Bharat Kumar (w/ copy of application)



JOSEPH B. RYAN  
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WILLIAM E. LEWIS

ROBERT J. MAURI\*  
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CONNECTICUT OFFICE  
1300 POST ROAD, SUITE 205  
FAIRFIELD, CT 06824  
TEL: (203) 255-6560  
FAX: (203) 255-6570

**VIA FEDERAL EXPRESS**

Gregory Anderson  
509 Belmont  
Colleyville, TX 76034

October 7, 2002

Re: Anderson 5-13-9-12  
IDS No. 123686  
Our File No. 1200-531

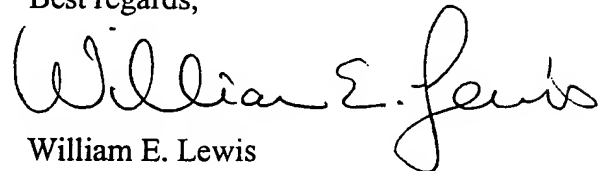
Dear Greg:

Thank you for taking the time to talk to me today regarding the above-referenced patent application. As we discussed, please find enclosed a copy of the application, Declaration and Assignment.

We kindly ask that you reconsider signing the enclosed Declaration and Assignment in the locations indicated in the documents and return them to us in the enclosed pre-paid Federal Express package.

I will speak with Lucent's Managing Attorney Stephen Gurey regarding the issues you raised, and get back to you as soon as possible. In the meantime, please feel free to contact us if you have any questions.

Best regards,

  
William E. Lewis

WEL:dag  
Enclosure(s): as above

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Teresa Hamlin

From: <sysdeliv@fn3a.prod.fedex.com>; "FedEx" <webmaster@fedex.com>  
To: <nyoffice@rml-law.com>  
Sent: Tuesday, October 08, 2002 11:52 AM  
Subject: FedEx shipment 790607963740

Our records indicate that the shipment sent from William E. Lewis/Ryan, Mason & Lewis, LL to Gregory Anderson/Residence has been delivered.

The package was delivered on 10/08/2002 at 10:12 AM and signed for or released by G.ANDERSON.

The ship date of the shipment was 10/07/2002.

The tracking number of this shipment was 790607963740.

Thank you for shipping with FedEx Ship Manager at FedEx.com.  
[https://www.fedex.com/cgi-bin/ship\\_it/interNetShip/](https://www.fedex.com/cgi-bin/ship_it/interNetShip/)

To track the status of this shipment on line click on the following:  
[http://www.fedex.com/cgi-bin/tracking?  
tracknumbers=790607963740&action=track&language=english&cntry\\_code=us](http://www.fedex.com/cgi-bin/tracking?tracknumbers=790607963740&action=track&language=english&cntry_code=us)

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FedEx has not validated the authenticity of any email address.

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10/8/2002